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APPLICATION NUMBER	FILING OR 371 (c) DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/824,197	04/13/2004	Daniel Yap	B-4711 620051-9

CONFIRMATION NO. 5863

## FORMALITIES LETTER



\*OC000000013070114\*

Ross A. Schmitt, Esq.  
 c/o LADAS & PARRY  
 Suite 2100  
 5670 Wilshire Boulevard  
 Los Angeles, CA 90036-5679

Date Mailed: 06/25/2004

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*Items Required To Avoid Abandonment:

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 770 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).*
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

The applicant needs to satisfy supplemental fees problems indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Additional claim fees of \$3378 as a non-small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due.

SUMMARY OF FEES DUE:

Total additional fee(s) required for this application is \$4278 for a Large Entity

08/31/2004 FFANAIA2 00000024 10824197

01 FC:1001	770.00 OP
02 FC:1051	130.00 OP
03 FC:1201	516.00 OP
04 FC:1202	2862.00 OP

- \$770 Statutory basic filing fee.
- \$130 Late oath or declaration Surcharge.

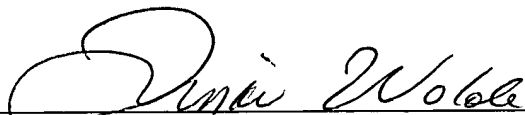
- Total additional claim fee(s) for this application is \$3378

- \$516 for 6 independent claims over 3.
- \$2862 for 159 total claims over 20.

Replies should be mailed to: Mail Stop Missing Parts  
Commissioner for Patents  
P.O. Box 1450  
Alexandria VA 22313-1450

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*A copy of this notice **MUST** be returned with the reply.*



Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Daniel YAP, et al.

Group Art Unit: 2633

Serial No.: 10/824,197

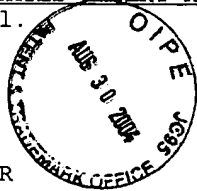
Examiner: unknown

Filed: April 13, 2004

Our Ref.: B-4711 620051-9

For: "METHOD AND APPARATUS FOR  
WAVEFORM GENERATION"

Date of this paper:  
August 25, 2004



MAIL STOP MISSING PARTS  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

COMPLETION OF FILING REQUIREMENTS

Responsive to office letter dated 6/25/2004 (copy attached).

DECLARATION OR OATH

☒ Please find enclosed the original Declaration/Power signed  
by the inventors.

AMENDMENT OF CLAIMS

☐ Please cancel claims \_\_\_\_\_ inclusive

☐ Please find enclosed an amendment deleting multiple dependencies

NOTE: The filing fees, fees for and surcharge fees listed below are  
reduced by 50% where proof of a small entity status is  
established on or before the date the fee is paid. If the  
full fee is paid but a verified statement is filed within two  
months of the date of payment of the first fee then the  
excess fee paid will be refunded on request. Notice of  
January 20, 1983. 1027 TMOG 114.

FEES

<input checked="" type="checkbox"/> Filing fee (37 CFR 1.16(a) - 770.00)	<u>\$770.00</u>
(small entity - 385.00)	
<input checked="" type="checkbox"/> Fees for claims	
<input checked="" type="checkbox"/> 6 Independent claims in excess of 3	
(37 CFR 1.16(b) - 86.00)	
(small entity - 43.00)	<u>\$516.00</u>
<input checked="" type="checkbox"/> 159 Claims in excess of 20	
(37 CFR 1.16(c) - 18.00)	<u>\$2862.00</u>
(small entity - 9.00)	

CERTIFICATE OF MAILING (37 CFR 1.8a)

I hereby certify that this paper (along with any paper referred to as being attached or  
enclosed) is being deposited with the United States Postal Service on the date shown below  
with sufficient postage as first class mail in an envelope addressed to the:

MAIL STOP MISSING PARTS  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Date: August 25, 2004

Suzanne Johnston  
(Typed or printed name of person mailing paper)

[Signature]  
(Signature of person mailing paper)

Completion of Filing Requirements (Page 1 of 2)

☐ Multiple dependent claim(s)  
(37 CFR 1.16(d) - 290.00)  
(small entity - 145.00)

☒ Surcharge fees

☒ Late payment of filing fee  
(37 CFR 1.16(e) - 130.00)  
(small entity - 65.00)

AND

☒ Late filing of declaration or oath  
(37 CFR 1.16(e) - 130.00) \$130.00  
(small entity - 65.00)

☐ Petition fee for filing by person not  
the inventor (37 CFR 1.17(h) \$120.00)

☐ Recording assignment  
(37 CFR 1.21(h)(i) 40.00)

☐ Attached is an assignment to

Total fees: \$4278.00

**SMALL ENTITY STATUS**

☐ A verified statement that this filing is by a small entity is

☐ Attached ☐ Already filed on \_\_\_\_\_  
W/cover sheet

**PAYMENT OF FEES**

☒ Enclosed is a check in the amount of \$4278.00.

☐ Charge Account No. 12-0415 in the amount of \_\_\_\_\_.  
A duplicate of this request is attached.

NOTE: Fees should be itemized in such a manner that it is clear for which purpose  
the fees are paid. 37 CFR 1.22(b).

**AUTHORIZATION TO CHARGE ADDITIONAL FEES**


☒ The Commissioner is hereby authorized to charge the following  
additional fees which may be required or credit any overpayment to  
Account No. 12-0415.

☒ 37 CFR 1.16 (filing fees and presentation of extra claims)

☒ 37 CFR 1.17 (application processing fees)

☐ 37 CFR 1.18 (issue fee at or before mailing of Notice of  
Allowance, pursuant to 37 CFR 1.311(b)).

NOTE: 37 CFR 1.28(b) requires "Notification of any change in status resulting in  
loss of entitlement to small entity status must be filed in the  
application... prior to paying... issue fee."

  
Mavis S. Gallenson  
Attorney for the Applicant  
Registration No.: 32,464

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